

Please type a plus sign [+] inside the box

08-16-01

A

1129 U.S. PTO
08/14/01

UTILITY
PATENT APPLICATION
TRANSMITTAL

(Only for new nonprovisional application under 37 C.F.R. § 1.53(b))

Attorney Docket No.	IN-5331
First Named Inventor	Swaminathan REMESH et al.
Filing Date	Tuesday, August 14, 2001
Title	Coating Composition Including A Water-Based Copolymer Cross-Linking With A Water-Dispersible Cross-Linking Agent, Method Of Preparing The Same, And A Cured Film Thereof
Express Mail Certificate	EK894923935US

APPLICATION ELEMENTS

MPEP chapter 600 concerning utility patent application contents

ADDRESS TO: Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

- ☒ Fee Transmittal Form (e.g. PTO/SB/17)
(Submit an original and a duplicate for fee processing)
- ☐ Applicant claims small entity status.
See 37 CFR 1.27.
- ☒ Specification [Total Pages 65]
-(preferred arrangement set forth below)
 - Descriptive title of the invention
 - Cross References to Related Application
 - Statement Regarding Fed sponsored R & D
 - Reference to Microfiche Appendix
 - Background of the invention
 - Background of the invention
 - Background of the invention
 - Brief Summary of the invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure
- ☐ Drawing(s) (35 U.S.C.113) [Total Sheets]
- ☒ Oath or Declaration [Total Sheets 05]
 - ☒ Newly executed (original or copy)
 - ☐ Copy from a prior application (37 CFR § 1.63(d))
(for continuation/divisional with Box 17 completed)
 - ☐ DELETION OF INVENTOR(S)
Signed statement attached deleting
- ☐ Application Data Sheet. See 37 CFR 1.76

- ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
- Nucleotide and/or Amino Acid Sequence Submission
(if applicable, all necessary)
 - ☐ Computer Readable Form (CRF)
 - Specification Sequence Listing on:
 - ☐ CD-ROM or CD-R (2 copies); or
 - ☐ paper
- ☐ Statements verifying identify of above copies

ACCOMPANYING APPLICATION PARTS

- ☐ Assignment Papers (cover sheet & document(s))
- ☐ 37 CFR§3.73(b) Statement (when there is an assignee) ☐ Power Of Attorney
- ☐ English Translation Document (if applicable)
- ☐ Information Disclosure Statement (IDS)/ PTO-1449 ☐ Copies of IDS Citations
- ☐ Preliminary Amendment
- ☒ Return Receipt Postcard (MPEP 503)
(Should be specifically itemized)
- ☐ Certified Copy of Priority Document(s)
(if foreign priority is claimed)
- ☐ other:

17. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment;

<input type="checkbox"/> Continuation	<input type="checkbox"/> Divisional	<input type="checkbox"/> Continuation-in-part (CIP) of prior application No. 0 filed on
---------------------------------------	-------------------------------------	---

Prior application information: Examiner Group/Art Unit:
For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application from which an oath or declaration is supplied under Box 4b, is considered to be part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

18. CORRESPONDENCE ADDRESS

☒ Customer Number or Bar Code Label

26922
PATENT TRADEMARK OFFICE

or ☐ Correspondence address below

Country	USA	Telephone	(248) 948-2021	Fax	(248) 948-2093
Name (print Type)	Anne Gerry Sabourin	Registration No. (Attorney Agent)	33,772	Date	August 14, 2001
Signature	<i>Anne G. Sabourin</i>				

FEE TRANSMITTAL

Patent fees are subject to annual revision on October 1.
These are the fees effective October 1, 1997

Attorney Docket No.

831

First Named Inventor

Saminathan RAMESH et al.

Filing Date

Tuesday, August 14, 2001

Title

Coating Composition Including A Water-Based
Copolymer Cross-Linking With A Water-
Dispersible Cross-Linking Agent, Method Of
Preparing The Same, And A Cured Film Thereof

Express Mail Certificate

EK894923935US

TOTAL AMOUNT OF PAYMENT \$2,580.00**METHOD OF PAYMENT**

1. ☒ The Commissioner is hereby authorized to change indicated fees and
credit any over payments to:

Deposit Account Number 23-3425

Deposit Account Name BASF Corporation

☒ Change Any Additional Fee ☒ Charge the Issue Fee Set in 37 CFR §
Required Under 37 CFR §§ 1.16 and 1.17 1.18 at the Mailing of the Notice of
Allowance

2. ☐ Payment Enclosed:☐ Check ☐ Money Order ☐ Other**FEE CALCULATION****1. BASIC FILING FEE**

Large Fee Code Entity Fee (\$)

401 710 Utility filing fee \$710.00

406 330 Design filing fee

407 540 Plant filing fee

108 790 Reissue filing fee

114 150 Provisional filing fee

SUBTOTAL (2) \$710.00

2. EXTRA CLAIM FEES

Total Claims 95 -20** = 75 x 18 = \$1,350.

Independent Claims 06 - 3** = 0 x 80 = \$ 480.

Multiple Dependent 270 =

*Or number previously paid, if greater; For Reissues, see below

Large Entity Fee Code (\$)

103 18 Claims in excess of 20

102 80 Independent claims in excess of 3

104 270 Multiple dependent claims, if not paid

109 82 **Reissue independent claims over original patent

110 22 **Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$1,830.00)

FEE CALCULATION**3. ADDITION FEES**

Large Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
----------------	-----------------	-----------------	----------

105 130 Surcharge -late filing fee or oath

127 50 provisional ailing or cover sheet

139 130 Non-English specification

147 2,520 For filing request for examination

112 920* Requesting publication of
SIR prior to Examiner action113 1,840 Requesting publication of
SIR after Examiner action115 110 Extension for reply within
first month116 400 Extension for reply within
second month117 890 Extension for reply within
third month118 1,510 Extension for reply within
fourth month128 2,060 Extension for reply within
fifth month

119 310 Notice of Appeal

120 310 Filing a brief in support of an
appeal

121 270 Request for oral hearing

138 1,510 Petition to institute a public
use proceeding

140 110 Petition to revive-unavoidable

141 1,320 Petition to revive-unintentional

142 1,320 Utility issue fee (or reissue)

143 450 Design issue fee

144 670 Plant issue fee

122 130 Petition to the Commissioner

123 50 Petition related to provisional
application

126 240 Submission of information

Disclosure Statement

581 40 Recording each patent
Assignment per property (time
number of properties)146 790 Filing a submission after final
rejection149 790 For each additional invention to
be examined (37 CFR 1.129(b))

Other fee (specify)

Reduced By Basic Fee Paid Filing

\$40.

18. CORRESPONDENCE ADDRESS☒ Customer Number or Bar Code Label

26922

PATENT TRADEMARK OFFICE

or ☒ Correspondence address below

Country

USA

Telephone

(248) 948-2021

Fax

(248) 948-2093

Name (print Type)

Anne Gerry Sabourin

Registration No. (Attorney Agent)

33,772

Signature

Date

August 14, 2001

PATENT

(Practitioner's Docket No. IN-5331)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of

Swaminathan RAMESH, Paul
LESSEK, Wolfgang BREMSER, and Paul
J. HARRIS

US Serial No. Herewith

Group Art Unit: Not Assigned

Filed: August 14, 2001

Examiner: Not Assigned

For: COATING COMPOSITION INCLUDING A WATER-BASED COPOLYMER CROSS-LINKING
WITH A WATER-DISPERSIBLE CROSS-LINKING AGENT, METHOD OF PREPARING THE SAME,

Assistant Commissioner of Patents
Washington, D.C. 20231

EXPRESS MAIL CERTIFICATE

"Express Mail" label number EK894923935US Date of Deposit August 14, 2001

I hereby certify that the following attached paper or fee

☒ Application

Specification on 43 pages; claims on 21 pages;
the abstract on 01 page(s); drawings on 0 page(s).

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to the Commissioner for Patents, Washington, DC 20231.

Mailer

(Typed or printed name of person mailing paper or fee)



Signature of person mailing paper or fee)

Note: Each paper must have its own certificate and the "Express Mail" label number as a part thereof or attached thereto. When, as here, the certification is presented on a separate sheet, that sheet must (1) be signed and (2) fully identify and be securely attached to the paper or fee it accompanies. Identification should include the serial number and filing date of the application as well as the type of paper being filed, e.g.

complete application, specification and drawings, responses to rejection or refusal, notice of appeal, etc. If the serial number of the application is not known, the identification should include at least the name of the inventor(s) and the title of the invention.

Note: The label number need not be placed on each page. It should, however, be placed on the first page of each separate document, such as, a new application, amendment, assignment, and transmittal letter for a fee, along with the certificate of mailing by "Express Mail." Although the label number may be on checks, such a practice is not required. In order not to deface formal drawings it is suggested that the label number be placed on the back of each formal drawing of the drawings be accompanied by a set of informal drawings on which the label number is placed.

PATENT

(Practitioner's Docket No. IN-5331)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of

Swaminathan RAMESH, Paul
LESSEK, Wolfgang BREMSER, and Paul
J. HARRIS

US Serial No. Herewith

Group Art Unit: Not Assigned

Filed: August 14, 2001

Examiner: Not Assigned

For: COATING COMPOSITION INCLUDING A WATER-BASED COPOLYMER CROSS-LINKING
WITH A WATER-DISPERSIBLE CROSS-LINKING AGENT, METHOD OF PREPARING THE SAME,

Assistant Commissioner of Patents
Washington, D.C. 20231

EXPRESS MAIL CERTIFICATE

"Express Mail" label number EK894923935US Date of Deposit August 14, 2001

I hereby certify that the following attached paper or fee

☒ Combined Declaration and Power of Attorney on pages

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to the Commissioner for Patents, Washington, DC 20231.

Mailer

(Typed or printed name of person mailing paper or fee)



Signature of person mailing paper or fee)

Note: Each paper must have its own certificate and the "Express Mail" label number as a part thereof or attached thereto. When, as here, the certification is presented on a separate sheet, that sheet must (1) be signed and (2) fully identify and be securely attached to the paper or fee it accompanies. Identification should include the serial number and filing date of the application as well as the type of paper being filed, e.g. complete application, specification and drawings, responses to rejection or refusal, notice of appeal, etc. if the serial number of the application is not known, the identification should include at least the name of the inventor(s) and the title of the invention.

Note: The label number need not be placed on each page. It should, however, be placed on the first page of each separate document, such as, a new application, amendment, assignment, and transmittal letter for a fee, along with the certificate of mailing by "Express Mail." Although the label number may be on checks, such a practice is not required. In order not to deface formal drawings it is suggested that the label number be placed on the back of each formal drawing of the drawings be accompanied by a set of informal drawings on which the label number is placed.

PATENT

(Practitioner's Docket No. IN-5331)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of

Swaminathan RAMESH, Paul
LESSEK, Wolfgang BREMSER, and Paul
J. HARRIS

US Serial No. Herewith

Filed: August 14, 2001

Group Art Unit: Not Assigned

Examiner: Not Assigned

For: Coating Composition Including A Water-Based Copolymer Cross-Linking With A Water-Dispersible Cross-Linking Agent, Method Of Preparing The Same, And A Cured Film Thereof

Patent*: Issue Date

Reexamination No.: Issue Date

Reissue: Issue Date

*NOTE: Insert name(s) of inventor(s) and title for patent.

Assistant Commissioner for Patents
Washington, D.C. 20.231

**STATEMENT UNDER 37 C.F.R. § 3.73(b)-
ESTABLISHING RIGHT OF ASSIGNEE TO TAKE ACTION**

CERTIFICATION UNDER 37 C.F.R. §§ 1.8(a) and 1.10*
(When using Express Mail, the Express Mail label number is mandatory;
Express Mail certification optional.)

I hereby certify that, on the date shown below, this correspondence is being:

MAILING

☐ deposited with the United States Postal Service in an envelope addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231

37 C.F.R. § 1.8(a)

37 C.F.R. § 1.10*

☐ with sufficient postage as first class mail.

☒ as "Express Mail Post Office to Addressee"
Mailing Label No: **EK894923935US** (mandatory)

TRANSMISSION

☐ transmitted by facsimile to the Patent and Trademark Office.

Date: August 14, 2001

Signature

Marjorie Ellis

(type or print name of person certifying)

(Statement under 37 C.F.R. § 3.73(b) - Establishing Right of Assignee to Take Action [16-16]-page1)

1. The assignee(s) of the entire right, title and interest hereby seek(s) to take action in the PTO in this matter.

IDENTIFICATION OF ASSIGNEE

2. BASF CORPORATION
Name of assignee
CORPORATION
Type of assignee, e.g., corporation, partnership, university, government agency, etc.

PERSON(s) AUTHORIZED TO SIGN

3. Anne Gerry Sabourin, 33,772
(type name of person authorized to sign on behalf of assignee)
Managing Counsel
Title of person authorized to sign

(complete the following, if applicable)

☒ I, the person signing below, state that I am empowered to sign this statement on behalf of the assignee.

BASIS OF ASSIGNEE'S INTEREST

Ownership by the assignee is established as follows:

- A.
- ☐ An assignment from the inventor(s) of the matter identified above, which was recorded in the PTO at
Reel _____, Frame _____.
 - ☒ An assignment (document) separately being submitted for recordal herewith.

AND/OR

- B.
- ☐ A chain of title from the inventor(s) to the current assignee as shown below:

1. From: _____
Name of inventor(s)
To: _____

Recorded in PTO:
Reel _____ Frame _____

(check item below, and add details, if applicable)

☐ Additional documents in the chain of title are listed in the attached Supplemental Sheet.

COPIES OF DOCUMENTS IN CHAIN OF TITLE

(complete this item, if copies are being sent)

☐ Copies of the assignment(s) or other document(s) in the chain of title are attached as follows:

☐ A

☐ 1

☐ 2

☐ B

☐ 1.

☐ 2

☐ 3.

Reg. No.: 33,772

Anne H. Sabourin
SIGNATURE OF ATTORNEY

Anne Gerry Sabourin
Type or print name of attorney

BASF Corporation
26701 Telegraph Road
P.O. Address

Southfield, Michigan 48034-2442

Tel. No.: (248) 948-2021

Customer No. 26922

26701 TELEGRAPH ROAD
SOUTHFIELD, MICHIGAN 48034-2442